

**OMB NO. 1820-0550**  
**Expires: 04/30/06**

**ANNUAL STATE APPLICATION UNDER PART C OF THE  
INDIVIDUALS WITH DISABILITIES EDUCATION ACT AS AMENDED IN 2004  
FEDERAL FISCAL YEAR 2006**

**CFDA No. 84.181A**

**ED FORM No. 1 B20--26P**

**UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION PROGRAMS  
Washington, DC 20202-2600**

## Section I

### A. Submission Statements for Part C of IDEA

Please select 1 or 2 below. Check 3 if appropriate.

1. ☐ The State's policies, procedures, methods, descriptions, and assurances meet all application requirements of Part C of the Act as found in PL 108-446, the Individuals with Disabilities Education Improvement Act of 2004 and applicable regulations (IDEA). The State is able to provide and/or meet all policies, procedures, methods, descriptions, and assurances, found in Sections II.A and II.B of this Application.

By selecting this submission statement the State has submitted the new and/or revisions to State policies, procedures, methods, and descriptions that meet all requirements found at 20 U.S.C. 1437(a)(6); (a)(9)(A); (a)(9)(A)(ii)(II); and (a)(9)(C)).

2. ☒ The State cannot provide policies, procedures, methods, descriptions, and/or assurances for all application requirements of Part C of the Act as found in PL 108-446, the Individuals with Disabilities Education Improvement Act of 2004. The State has determined that it is unable to provide the policies, procedures, methods, descriptions, and/or assurances that are checked 'No' in Sections II.A and II.B. However, the State assures that throughout the period of this grant award the State will operate consistent with all requirements of IDEA in PL 108-446 and applicable regulations. The State will develop and/or make such changes to existing policies, procedures, methods, descriptions, and assurances as are necessary to bring the policies, procedures, methods, descriptions, and assurances into compliance with the requirements of the IDEA, as amended, as soon as possible, and not later than June 30, 2007. The State has included the date by which it expects to complete necessary changes associated with policies, procedures, methods, descriptions, and assurances marked 'No'. The items checked 'Yes' are enclosed with this application.<sup>1</sup>

Optional:

3. ☐ The State is submitting modifications to State policies and procedures previously submitted to the Department and has checked, under Section II.A, the appropriate 'R' cell(s) found in the 'Yes' column. These modifications are: (1) deemed necessary by the State, for example when the State revises applicable State law or regulations; (2) required by the Secretary because there is a new interpretation of the Act or regulations by a Federal court or the State's highest court; and/or (3) because of an official finding of noncompliance with Federal law or regulation.

### B. Conditional Approval for Current Grant Year

**If the State received conditional approval for the current grant year, check the appropriate statement below:**

1. ☐ The State previously has submitted documentation of completion of all issues identified in the FFY 2005 conditional approval letter.
2. ☐ The State is attaching documentation of completion of all issues identified in the FFY 2005 conditional approval letter. *(Attach documentation showing completion of all issues.)*
3. ☐ The State has not completed all issues identified in the FFY 2005 conditional approval letter. *(Attach documentation showing completion of any issues and a list of items not yet completed.)*

<sup>1</sup> If Option 2 is checked, the State is to provide dates in Sections II.A and II.B as to when the required policies, procedures, methods, descriptions, and assurances will be provided, which date can be no later than June 30, 2007. The State will be granted conditional approval until it can provide all policies, procedures, methods, descriptions, and assurances.

## Section II

### A. State Policies, Procedures, Methods, and Descriptions

As checked below, the State hereby declares that it has or has not filed the following policies, procedures, methods, and descriptions with the U.S. Department of Education, and, as of the date of the signature below, affirms and incorporates by reference those policies, procedures, methods, and descriptions with respect to Part C of PL 108-446.

Check and enter date(s) as applicable. Enclose relevant documents.			<i>N = 'New' Policy and/or Procedure</i> <i>R = 'Revised' Policy and/or Procedure</i> <i>OF = Policy and/or Procedure is already 'On File' with the USDE</i>	
<b>Yes</b> (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File' with OSEP, check OF.)		<b>No</b> (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)		
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
				<b>State Policies and Procedures</b>
		✓		1. As required in 20 U.S.C. 1432(5)(A) and 1435(a)(1), the State has provided its policies and/or procedures regarding the State's definition of 'developmental delay' to ensure that a rigorous definition of the term 'developmental delay' will be used by the State in carrying out programs under this Part in order to appropriately identify infants and toddlers with disabilities that are in need of services under this Part.
		✓		2. As required in 20 U.S.C. 1437(a)(9)(B), the State has provided its policies and/or procedures to ensure review of the child's program options for the period from the child's third birthday through the remainder of the school year.
		✓		3. As required in 20 U.S.C. 1437(a)(9)(C), the State has provided its policies and/or procedures to ensure the establishment of a transition plan, including, as appropriate, steps to exit from the program.
		✓		4. As required in 20 U.S.C. 1437(a)(6), the State has provided its policies and procedures that require the referral for early intervention services under this part of a child under the age of 3 who - (A) is involved in a substantiated case of abuse or neglect;

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<b>Yes</b> (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File' with OSEP, check OF.)			<b>No</b> (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)	
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
				or (B) is identified as affected by illegal substance abuse, or withdrawal symptoms resulting from prenatal drug exposure.
			✓ As soon as possible or by 6/30/2007	5. As required in 20 U.S.C. 1437(a)(9)(A), the State has provided its policies and procedures that ensures a smooth transition for toddlers receiving early intervention services under this part (and children receiving those services under by 20 U.S.C 1435(c)) to preschool, school, other appropriate services, or exiting the program, including a description of how: (i) the families of such toddlers and children will be included in the transition plans required 20 U.S.C. 1437(a)(9)(C); and (ii) the lead agency designated or established under 20 U.S.C. 1435(a)(10) will (I) notify the local educational agency for the area in which such a child resides that the child will shortly reach the age of eligibility for preschool services under Part B, as determined in accordance with State law; (II) in the case of a child who may be eligible for such preschool services, with the approval of the family of the child, convene a conference among the lead agency, the family, and the local educational agency not less than 90 days (and at the discretion of all such parties, not more than 9 months) before the child is eligible for the preschool services, to discuss any such services that the child may receive; and (III) in the case of a child who may not be eligible for such preschool services, with the approval of the family, make reasonable efforts to convene a conference among the lead agency, the family, and providers of other appropriate services for children who are not eligible for preschool services under Part B, to discuss the appropriate services that the child may receive.
				<b>Optional Policies/Methods</b> Type in 'NA' for not applicable under 'No' in the cells to the left if the State has not exercised this option.
			NA	6. As required in 20 U.S.C. 1437(a)(4), if the State provides services

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<b>Yes</b> (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File' with OSEP, check OF.)			<b>No</b> (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)	
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
				to at-risk infants and toddlers through the statewide system, the State has provided its: 1) description of services to at-risk infants and toddlers, and 2) definition of 'at-risk' under 20 U.S.C. 1432(5)(B)(i).
		✓		<i>Enter 'NA' in the cells to the left if the State does not have a system of payment. (See Section IV.A)</i>  7. As required in 20 U.S.C. 1432(4)(B) and 1437(a)(3)(A), the State has provided its policies and/or procedures that identify the State's system of payments for Part C services.
NA	NA	NA	NA	<i>Enter 'NA' in the cells to the left if this statement is not applicable; otherwise check the 'N' cell under the 'Yes' column and attach all policies.</i>  8. As described in 20 U.S.C. 1435(c) the State has provided its policy, developed and implemented jointly by the lead agency and the State educational agency, under which parents of children with disabilities who are eligible for services under 20 U.S.C. 1419 and previously received services under this part, may choose the continuation of early intervention services (which includes an educational component that promotes school readiness and incorporates preliteracy, language, and numeracy skills) for such children under this part until such children enter, or are eligible under State law to enter, kindergarten.  The statewide system ensures that-- (A) parents of children with disabilities served pursuant to 20 U.S.C. 1435(c) are provided annual notice that contains-- (i) a description of the rights of such parents to elect to receive services pursuant to 20 U.S.C. 1435(c) or under Part B; and (ii) an explanation of the differences between services provided pursuant to 20 U.S.C. 1435(c) and services

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<b>Yes</b>  (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)			<b>No</b>  (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)	
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
				<p>provided under Part B, including--</p> <ul style="list-style-type: none"> <li>(I) types of services and the locations at which the services are provided;</li> <li>(II) applicable procedural safeguards; and</li> <li>(III) possible costs (including any fees to be charged to families as described in 20 U.S.C. 1432(4)(B)), if any, to parents of infants or toddlers with disabilities;</li> </ul> <p>(B) services provided pursuant to 20 U.S.C. 1435(c) include an educational component that promotes school readiness and incorporates preliteracy, language, and numeracy skills;</p> <p>(C) the State policy will not affect the right of any child served pursuant to 20 U.S.C. 1435(c) to instead receive a free appropriate public education under Part B;</p> <p>(D) all early intervention services outlined in the child's individualized family service plan under 20 U.S.C. 1436 are continued while any eligibility determination is being made for services under 20 U.S.C. 1435(c);</p> <p>(E) the parents of infants or toddlers with disabilities (as defined in 20 U.S.C. 1432(5)(A)) provide informed written consent to the State, before such infants or toddlers reach 3 years of age, as to whether such parents intend to choose the continuation of early intervention services pursuant to 20 U.S.C. 1435(c) for such infants or toddlers;</p> <p>(F) the requirements under 20 U.S.C. 1437(a)(9) shall not apply with respect to a child who is receiving services in accordance with 20 U.S.C. 1435(c) until not less than 90 days (and at the discretion of the parties to the conference, not more than 9 months) before the time the child will no longer receive those services; and</p> <p>(G) there will be a referral for evaluation for early intervention services of a child who experiences a substantiated case of trauma due to exposure to family violence (as defined in section 320 of the Family Violence Prevention and Services</p>

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<b>Yes</b>  (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File' with OSEP, check OF.)		<b>No</b>  (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)		
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
				Act).  The State shall submit to the Secretary, in the State's report under 20 U.S.C. 1437(b)(4)(A), a report on the number and percentage of children with disabilities who are eligible for services under 20 U.S.C. 1419 but whose parents choose for such children to continue to receive early intervention services under this part.  A description the funds (including an identification as Federal, State, or local funds) that will be used to ensure that the option described 20 U.S.C. 1435(c)(1) is available to eligible children and families who provide the consent described in paragraph (2)(E), including fees (if any) to be charged to families as described in 20 U.S.C. 1432(4)(B).  In accordance with 20 U.S.C. 1435(c)(5)(A), when providing services to a child with a disability who is eligible for services under 20 U.S.C. 1419 the State is not required to provide the child with a free appropriate public education under Part B for the period of time in which the child is receiving services under part C.
NA	NA	NA	NA	<i>Enter 'NA' in the cells to the left if this statement is not applicable; otherwise check either the 'N' or 'R' cell under the 'Yes' column and attach appropriate written methods. See the Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</i>  9. The State has chosen to meet the requirement to establish financial responsibility for early intervention services under 20 U.S.C. 1440(b)(1) through 'appropriate written methods' under 20 U.S.C. 1440(b)(3)(c) other than State statute or regulation or signed interagency agreements.
				<b>Descriptions</b>
		✓		1. As required by Section 427 of the General Education Provisions Act (GEPA), the State has identified barriers and developed strategies to address the barriers and has provided a description of

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<b>Yes</b> (If New or Revised are checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)			<b>No</b> (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2007.)	
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
				the steps the State is taking to ensure equitable access to, and participation in Part C.
		✓		2. As required in 20 U.S.C. 1437(a)(3)(B), the State has provided a description of early intervention services to be provided to infants and toddlers with disabilities and their families through the statewide system.
✓				3. As required in 20 U.S.C. 1437(a)(5), the State has provided a description of the uses for which funds will be expended in accordance with this part. <i>(See Section III. If the State is submitting a completed Section III, check 'N' under the 'Yes' column to the left.)</i>
		✓		4. As required in 20 U.S.C. 1437(a)(7) the State has provided a description used to ensure that resources are made available under this part for all geographic areas within the State.
		✓		5. As required in 20 U.S.C. 1437(a)(8) the State has provided a description that ensures that, prior to the adoption by the State of any other policy or procedure necessary to meet the requirements of this part, there are public hearings, adequate notice of the hearings, and an opportunity for comment available to the general public, including individuals with disabilities and parents of infants and toddlers with disabilities.
		✓		6. As required in 20 U.S.C. 1437(a)(10) the State has provided a description of State efforts to promote collaboration among Early Head Start programs under section 645A of the Head Start Act, early education and child care programs, and services under Part C.



## B. Assurances and Optional Assurance

The State makes the following assurances and provisions as required by Part C of the Individuals with Disabilities Education Act. (20 U.S.C. 1431 et.seq.)

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes (Assurance is hereby provided.)	No (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
✓		1. As applicable, the assurance found in OMB Standard Form 424(B) (Assurances for Non-Construction Programs), relating to legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood insurance; environmental standards; wild and scenic river systems; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and general agreement to comply with all Federal laws, executive orders and regulations is in place.
	✓  As soon as possible or before 6/30/2007	2. The State has adopted a policy that appropriate early intervention services are available to all infants and toddlers with disabilities in the State and their families, including Indian infants and toddlers with disabilities and their families residing on a reservation geographically located in the State, infants and toddlers with disabilities who are homeless children and their families, and infants and toddlers with disabilities who are wards of the State; and has in effect a statewide comprehensive, coordinated, multidisciplinary, interagency system to provide early intervention services, for infants and toddlers with disabilities and their families, that meet the requirements of 20 U.S.C 1401, and 1431-1443. <i>See the Optional Technical Assistance Checklist for the full provisions of 1401 and 1432.</i>
✓		3. The State has in effect a policy that ensures that appropriate early intervention services based on scientifically based research, to the extent practicable, are available to all infants and toddlers with disabilities and their families, including Indian infants and toddlers with disabilities and their families residing on a reservation geographically located in the State and infants and toddlers with disabilities who are homeless children and their families in accordance with 20 U.S.C. 1435(a)(2).

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
✓		4. The State has in effect a timely, comprehensive, multidisciplinary evaluation of the functioning of each infant or toddler with a disability in the State, and a family-directed identification of the needs of each family of such an infant or toddler, to assist appropriately in the development of the infant or toddler in accordance with 20 U.S.C. 1435(a)(3).
	✓  As soon as possible or before 6/30/2007	5. For each infant or toddler with a disability in the State, the State has an individualized family service plan in accordance with 20 U.S.C. 1436, including service coordination services in accordance with such service plan. (20 U.S.C. 1435(a)(4)) <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1436.</i>
✓		6. The State has a comprehensive child find system, consistent with Part B, including a system for making referrals to service providers that includes timelines and provides for participation by primary referral sources and that ensures rigorous standards for appropriately identifying infants and toddlers with disabilities for services under this part that will reduce the need for future services. (20 U.S.C. 1435(a)(5))
✓		7. The State has a public awareness program focusing on early identification of infants and toddlers with disabilities, including the preparation and dissemination by the lead agency designated or established under 20 U.S.C. 1435(a)(10) to all primary referral sources, especially hospitals and physicians, of information to be given to parents, especially to inform parents with premature infants, or infants with other physical risk factors associated with learning or developmental complications, on the availability of early intervention services under this part and of services under 20 U.S.C. 1419, and procedures for assisting such sources in disseminating such information to parents of infants and toddlers with disabilities. (20 U.S.C. 1435(a)(6))

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
✓		8. The State has a central directory that includes information on early intervention services, resources, and experts available in the State and research and demonstration projects being conducted in the State. (20 U.S.C. 1435(a)(7))
✓		9. The State has a comprehensive system of personnel development, including the training of paraprofessionals and the training of primary referral sources with respect to the basic components of early intervention services available in the State that  (A) includes-- <ul style="list-style-type: none"> <li>(i) implementing innovative strategies and activities for the recruitment and retention of early education service providers;</li> <li>(ii) promoting the preparation of early intervention providers who are fully and appropriately qualified to provide early intervention services under this part; and</li> <li>(iii) training personnel to coordinate transition services for infants and toddlers served under this part from a program providing early intervention services under this part and under Part B (other than 20 U.S.C. 1419), to a preschool program receiving funds under 20 U.S.C. 1419, or another appropriate program; and</li> </ul> (B) may include-- <ul style="list-style-type: none"> <li>(i) training personnel to work in rural and inner-city areas; and</li> <li>(ii) training personnel in the emotional and social development of young children.</li> </ul> (20 U.S.C. 1435(a)(8)(A) and (B))
✓		10. The State has policies and procedures relating to the establishment and maintenance of qualifications to ensure that personnel necessary to carry out this part are appropriately and adequately prepared and trained, including the establishment and maintenance of qualifications that are consistent with any State-approved or recognized certification, licensing, registration, or other comparable requirements that apply to the area in which such personnel are providing early intervention

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
		services, except that nothing in this part (including this paragraph) shall be construed to prohibit the use of paraprofessionals and assistants who are appropriately trained and supervised in accordance with State law, regulation, or written policy, to assist in the provision of early intervention services under this part to infants and toddlers with disabilities. (20 U.S.C. 1432 and 1435(a)(9))
✓		<p>11. The State has a single line of responsibility in a lead agency designated or established by the Governor for carrying out -</p> <ul style="list-style-type: none"> <li>(A) the general administration and supervision of programs and activities receiving assistance under 20 U.S.C. 1433, and the monitoring of programs and activities used by the State to carry out this part, whether or not such programs or activities are receiving assistance made available under 20 U.S.C. 1433, to ensure that the State complies with this part;</li> <li>(B) the identification and coordination of all available resources within the State from Federal, State, local, and private sources;</li> <li>(C) the assignment of financial responsibility in accordance with 20 U.S.C. 1437(a)(2) to the appropriate agencies;</li> <li>(D) the development of procedures to ensure that services are provided to infants and toddlers with disabilities and their families under this part in a timely manner pending the resolution of any disputes among public agencies or service providers;</li> <li>(E) the resolution of intra- and interagency disputes; and</li> <li>(F) the entry into formal interagency agreements that define the financial responsibility of each agency for paying for early intervention services (consistent with State law) and procedures for resolving disputes and that include all additional components necessary to ensure meaningful cooperation and coordination. <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</i></li> </ul> <p>(20 U.S.C. 1435(a)(10)(A)-(F) and 1440)</p>
✓		<p>12. The State has a policy pertaining to the contracting or making of other arrangements with service providers to provide early intervention</p>

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
		services in the State, consistent with the provisions of Part C, including the contents of the application used and the conditions of the contract or other arrangements. (20 U.S.C. 1435(a)(11))
✓		13. The State has a procedure for securing timely reimbursements of funds used under this part in accordance with 20 U.S.C. 1440(a). <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</i> (20 U.S.C. 1435(a)(12) and 1440)
	✓  As soon as possible or before 6/30/2007	14. The State has procedural safeguards with respect to programs under this part, as required by 20 U.S.C. 1439. (20 U.S.C. 1435(a)(13)) <i>See Optional Technical Assistance Checklist for applicable provisions of 20 U.S.C. 1415 and 1439.</i>
✓		15. The State has a system for compiling data requested by the Secretary under section 618 that relates to this part. (20 U.S.C. 1418, 1435(a)(14) and 1442)
✓		16. The State has a State interagency coordinating council that meets the requirements of 20 U.S.C. 1441. (20 U.S.C. 1435(a)(15)) <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1441.</i>
✓		17. The State has policies and procedures to ensure that, consistent with 20 U.S.C 1436(d)(5): A) to the maximum extent appropriate, early intervention services are provided in natural environments; and B) the provision of early intervention services for any infant or toddler with a disability occurs in a setting other than a natural environment that is most appropriate, as determined by the parent and the individualized family service plan team, only when early intervention cannot be achieved satisfactorily for the infant or toddler in a natural environment. (20 U.S.C. 1435(a)(16))

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes  (Assurance is hereby provided.)	No  (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
✓		18. The State ensures that Federal funds made available under 20 U.S.C. 1443 will be expended in accordance with this part. (20 U.S.C. 1437(b)(1) and 1438)
✓		19. The State ensures that it has methods in place to comply with the requirements of 20 U.S.C. 1440. (20 U.S.C. 1437(b)(2)) <i>State's response should be consistent with Certification #3 below.</i>
✓		20. The State ensures that the control of funds provided under 20 U.S.C. 1443, and title to property derived from those funds, will be in a public agency for the uses and purposes provided in this part and that a public agency will administer such funds and property. (20 U.S.C. 1437(b)(3))
✓		21. The State ensures that provisions shall be made for-- (A) making such reports in such form and containing such information as the Secretary may require to carry out the Secretary's functions under this part; and (B) keeping such reports and affording such access to the reports as the Secretary may find necessary to ensure the correctness and verification of those reports and proper disbursement of Federal funds under this part. (20 U.S.C. 1437(b)(4))
✓		22. The State ensures that the Federal funds made available under 20 U.S.C. 1443 to the State-- (A) will not be commingled with State funds; and (B) will be used so as to supplement the level of State and local funds expended for infants and toddlers with disabilities and their families and in no case to supplant those State and local funds. (20 U.S.C. 1437(b)(5))
✓		23. The State ensures that fiscal control and fund accounting procedures will be adopted as may be necessary to ensure proper disbursement of, and accounting for, Federal funds paid under 20 U.S.C. 1443 to the

Check and enter date(s) as applicable		<b>Assurances</b> (20 U.S.C. 1434;1435; and 1437(b))
<b>Yes</b> (Assurance is hereby provided.)	<b>No</b> (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
		State. (20 U.S.C. 1437(b)(6))
✓		24. The State ensures that policies and procedures have been adopted to ensure meaningful involvement of underserved groups, including minority, low-income, homeless, and rural families and children with disabilities who are wards of the State, in the planning and implementation of all the requirements of Part C. (20 U.S.C. 1437(b)(7))
✓		25. The State assures that it shall provide other information and assurances as the Secretary may reasonably require by regulation. (20 U.S.C. 1437(b)(8).
		<b>Optional Assurance</b>
NA	NA	<p><i>Enter 'NA' in the cells to the left if this assurance is not applicable.</i></p> <p>26. The State has adopted a policy that includes making ongoing good-faith efforts to recruit and hire appropriately and adequately trained personnel to provide early intervention services to infants and toddlers with disabilities, including, in a geographic area of the State where there is a shortage of such personnel, the most qualified individuals available who are making satisfactory progress toward completing applicable course work necessary to meet the standards described in 20 U.S.C. 1435(a)(9). (20 U.S.C. 1435(b))</p>

### C. Certifications

The State Lead Agency is providing the following certifications:

Yes	
✓	<p>1. The State certifies that ED Form 80-0013, <i>Certification Regarding Lobbying</i>, is on file with the Secretary of Education.</p> <p>With respect to the <i>Certification Regarding Lobbying</i> the State recertifies that no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or renewal of Federal grants under this program; that the State shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 CFR Part 82, Appendix B); and that the State Agency shall require the full certification, as set forth in 34 CFR Part 82, Appendix A, in the award documents for all sub awards at all tiers.</p>
✓	<p>2. The State certifies that it has met the certifications in the Education Department General Administrative Regulations (EDGAR) at 34 CFR §80.11 relating to State eligibility, authority and approval to submit and carry out the provisions of its State application, and consistency of that application with State law are in place within the State.</p>
✓	<p>3. The State certifies that the methods or arrangements to establish financial responsibility for early intervention services provided under Part C pursuant to 20 U.S.C. 1440(b) are current as of the date of this Application certification. (20 U.S.C. 1437(a)(2) and 1440). <i>See Item 9 in Section II.A above regarding including, with this Application for the Secretary's review, 'other appropriate written methods' to meet the requirements of 20 U.S.C. 1440(b). State's response under Assurance #19 above should be consistent with its response to this Certification.</i></p>



**D. Statement**

I certify that the State of New York has provided the policies, procedures, methods, descriptions, and assurances checked as 'yes' in Sections II.A and II.B and the certifications required in Section II.C of this application. These provisions meet the requirements of Part C of the Individuals with Disabilities Education Act as found in PL 108-446. The State will operate its Part C program in accordance with all of the required policies, procedures, methods, descriptions, assurances and certifications.

If any policies, procedures, methods, descriptions, and assurances have been checked 'no', I certify that the State will operate throughout the period of this grant award consistent with the requirements of the IDEA as found in PL 108-446 and any applicable regulations, and will make such changes to existing policies and procedures as are necessary to bring those policies and procedures into compliance with the requirements of the IDEA, as amended, as soon as possible, and not later than July 1, 2007. (34 CFR §76.104)

I, the undersigned authorized official of the

New York State Department of Health,

(Name of State and official name of State lead agency)

am designated under Part C by the Governor of this State to submit this application for FFY 2006 funds under Part C of the Individuals with Disabilities Education Act (IDEA).

Printed/Typed Name and Title of Authorized Representative of the State:

Dennis P. Whalen, Executive Deputy Commissioner

Signature:

Date:

### Section III

#### A. Description of Use of Part C Funds for the Lead Agency

Provide totals for the number of lead agency administrative positions, percent of time spent on Part C, and salaries and fringe benefits funded either 100 percent and/or less than 100 percent with Part C funds. Provide a general description of the duties that the positions entail. Identify any administrative positions for which less than 100% of their time is spent on Part C and, for each such position, indicate the percentage of time spent on Part C and the total amount of salary and fringe benefits included in the Part C application budget.

### Section III

#### A. Description of Use of Part C Funds for the Lead Agency

Provide totals for the number of lead agency administrative positions, salaries and fringe benefits funded either 100 percent and/or less than 100 percent with Part C funds. Provide a general description of the duties that the positions entail.

Positions Funded	Number of Positions	Salaries & Fringe Benefits	Description of Duties
100% funded with Part C Funds	82	Total \$6,363,602	Positions are related to Early Intervention Program Administrative activities.

## PART II

#### B. Maintenance and Implementation Activities for the Lead Agency

List major activities. Activities could include Comprehensive System of Personnel Development, contracted staff to provide technical assistance and data analysis, and expenses to administer the program not included under "Administrative Positions." *(Add columns and rows as needed.)*

Major Activity	Part C Funds to be Spent	Description of Activities
Early Intervention Administrative Reimbursement to Municipalities	\$8,608,057	The Department of Health will reimburse municipalities to partially defray the cost of administering the local early intervention system (as required by Section 2556 of the Public Health Law). Funds are used to support local implementation of federal and state requirements for the Early Intervention Program.
Training and Technical Assistance	\$750,000	The Early Intervention Program currently funds contractors to deliver training curricula statewide to support the Department of Health's implementation of the Early Intervention Program. The Department developed two new Requests for Proposals (RFP) to develop new training courses, revise current training courses and to deliver statewide training. The Program began the new five-year miscellaneous service contracts in Dec. 2005.

		Funds will be used for continued support to provide technical assistance and training for municipal officials and staff responsible for local administration of the EIP. The Department will continue to develop and implement training and technical assistance activities focusing on the administrative, fiscal, and clinical aspects of the EIP
Family Initiatives	\$175,000	<p>The Department of Health is committed to providing family-centered early intervention services, improving and refining the early intervention system for families, and promoting parent involvement at the individual, local, and state levels. Funds will continue to be used to support a multi-year contract to fund a variety of family involvement activities to support parents, including the following: regional semiannual "Partners in Policymaking" training sessions for parents of children receiving early intervention services, development of parent materials, production of a family support survey, and provision of staff support and mentoring to the Early Intervention Coordinating Council's parent members.</p> <p>This contract was extended for one additional year. The Program is developing a new Request for Application (RFA) for a variety of family involvement activities including, development of parent materials and support to the EICC and its parent members. The new five-year contract will begin in the spring of 2006.</p>
Public Awareness and Clinical Practice Guidelines	\$225,000	<p>Funds will be used to support production and distribution of a variety of publications and brochures for parents, primary health care providers, hospitals, and other primary referral sources and the general public. These publications will promote early identification and referral of infants and toddlers with suspected delays to early intervention and provide information about the Early Intervention Program and available services. The Department has been engaged in a multi-year effort to develop clinical practice guidelines for certain conditions that may affect eligible children. Using methodology developed by the federal Agency for Health Care Policy and Research, evidence-based practice guidelines have been developed to ensure high-quality, consistent, and effective service delivery to eligible children and their families. These guidelines address recommended clinical practices for developmental surveillance, assessment, and intervention with children age birth to three years. Funds will be used to support printing of four new guidelines (topics including hearing loss, vision impairment, Down syndrome, and motor disabilities). Funds will also be used to conduct the initial statewide presentation of the four new guidelines to providers, early intervention municipal staff, and parents. Each guideline consists of three separate publications (a technical report, a report of the recommendations, and a quick reference guide). Each of the three publications will be put on a compact disc. Guidelines are disseminated to early intervention officials, providers, and municipalities and others upon request.</p>

Mediation	\$30,000	New York State provides families with the option of mediation through community dispute resolution centers (as required by Section 2549 of the Public Health Law) to resolve disputes about early intervention services. Funds will be used to provide mediation services through a contract with the New York State Association of Community Dispute Resolution Centers.
Monitoring of Municipal Early Intervention Agencies and Approved Service Providers	\$2,800,000	<p>The Department of Health is responsible for supervision of the 57 county and New York City government agencies that administer the Early Intervention Program at the local level. The Department is also responsible for monitoring approximately 757 contracted agencies and 1,574 contracted individual practitioners approved by the state to deliver early intervention services. Funds continued to be used to support a multi-year contract with IPRO to achieve timely and effective monitoring of local governments and approved contracted providers. IPRO will conduct approximately 150 on-site reviews per quarter. IPRO is currently conducting the second review of all providers and municipalities. IPRO is also conducting follow up reviews for providers who had deficiencies found during their first review, in the area of health and safety, which required immediate remediation. Corrective Action Plans (CAPS) received for 1800 providers have been reviewed and approved. IPRO's monitoring data base has been revised to incorporate additional levels of monitoring review types, including a more comprehensive review of potential health and safety issues. Their revised data base now produces monitoring reports which include technical assistance for providers who may have findings that result in the need to develop a CAP. The monitoring data base continues to track submission of provider correspondence and generates a variety of management reports related to the status of monitoring efforts.</p> <p>A contractor has been selected for the multi-year contract to develop the new application, including functional specifications and database design. The anticipated time frame for completion of the new information system is approximately 18 to 24 months.</p>
Early Intervention Program Information System	\$1,317,245	As lead agency for the Early Intervention Program, the Department of Health developed and has maintained an information system known as KIDS – Kids Integrated Data System, to meet local, state, and federal data needs, and to assist in local and state management of service delivery system. KIDS is also the key data source used for state supervision and monitoring of the Early Intervention Program. For a variety of reasons, including the significant growth in the EIP, outdated technology, and the need for a centralized database, the KIDS application can no longer adequately support the data and operational needs of the program. Funds will be used in partial support of a multi-year effort to design and implement a new management information system for the EIP. It is anticipated that funds will be requested in future applications to continue to support

		<p>development, deployment, and maintenance of the data system. The intent is to ensure the new management information system does the following:</p> <ul style="list-style-type: none"> <li>• Meets all applicable state and federal regulations;</li> <li>• Meets HIPAA and HCFA mandated requirements;</li> <li>• Employs proven hardware and software technology that ensures data security, meets defined performance standards, and is cost effective to maintain and operate;</li> <li>• Provides a basis to deploy additional functional modules as needed;</li> <li>• Improves local agency billing and claiming;</li> <li>• Provides a database that is more dependable, resulting in more accurate and flexible reporting and record exporting;</li> <li>• Operates in a Windows 98 and 2000 environment;</li> <li>• At least equal KIDS performance and not require additional staff to accomplish the same volume of data capture;</li> <li>• Interfaces with external providers and users of information, e.g., the Medicaid Information Management System, the State Education Department's preschool special education and student information system, etc.;</li> <li>• Can be easily maintained.</li> </ul> <p>A contractor has been selected for the multi-year contract to develop the new application, including functional specifications and database design. The anticipated time frame for completion of the new information system is approximately 18 to 24 months.</p>
Data Collection for the State Performance Plan and General Supervision and Enhancement Grant	\$350,000	<p>A memorandum of understanding is being established with the State University of New York at Buffalo to collaborate with the Department on two important efforts: (1) data collection, data analyses, and training and technical assistance to the field necessary to meet the new requirements established by OSEP for collection and reporting of child and family outcomes; and, (2) conducting a field study to determine the feasibility of collecting New York State specific child and family outcomes as part of the Department's activities related to the General Supervision Enhancement Grant (GSEG) on child and family outcomes. SUNY Buffalo activities will include the development of a project website and scanning capabilities for data collection purposes; provision of support related to sampling design and data analyses; and, development, in collaboration with SUNY Binghamton, of training and technical assistance materials for municipalities, parents, and EIP providers as needed to participate in the data collection effort. SUNY staff will also work with the Department to complete a field study in three municipalities to examine the feasibility of collection of New York State-specific child and family outcomes identified through the concept mapping process.</p>

Technical Assistance Information System & Health Statistics Group (ISHSG)	\$96,016	Funds are allocated to ISHSG for provision of computer systems support to the Early Intervention Program.
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**C. Description of Use of Part C Funds for the Interagency Coordinating Council (ICC)**

Provide totals for the number of ICC administrative positions, percent of time spent on Part C, and salaries and fringe benefits funded either 100 percent and/or less than 100 percent with Part C funds. Provide a general description of the duties that the positions entail. Identify any administrative positions for which less than 100% of their time is spent on Part C and, for each such position, indicate the percentage of time spent on Part C and the total amount of salary and fringe benefits included in the Part C application budget.

Positions Funded	Number of Positions	Salaries & Fringe Benefits	Description of Duties	Positions Funded
100% funded with Part C Funds			See administrative positions previously listed.	100% funded with Part C Funds

**D. Maintenance and Implementation Activities for the Interagency Coordinating Council (ICC)**

List major activities. Activities could include training, support for the ICC (travel), and other implementation and development activities of the ICC. (Add columns and rows as needed.)

Major Activity	Part C Funds to be Spent	Description of activities
<p>Early Intervention Coordinating Council</p> <p>EICC Task Force committees include the following:</p> <p>Marketing Task Force</p> <p>Health and Safety Task Force</p> <p>Provider Approval and Re-Approval Task Force</p>	\$45,100	<p>The EICC conducts meetings quarterly and holds committee meetings as required. Travel costs for non-state agency EICC and committee members, including childcare for parent members, is reimbursed. EICC committees including the following:</p> <p>The Executive Committee is comprised of the chair and vice-chair, two providers, two municipal representatives, the Department of Health's representative, and one other state agency representative. Invited to the Executive Committee meetings are the chairs of the task force committees to provide updates on their work plan addressing specific time-limited issues. The chair of the EICC, on an annual basis, appoints the membership of the Executive Committee. The Executive Committee establishes the agenda for the meetings of the EICC at its quarterly meeting.</p> <p>Task forces are convened for a time-limited basis to address policy issues identified as priorities by the EICC or as requested by the Department and agreed to by the Council. At the annual meeting and when deemed necessary, the Council and the Department will identify priority issues to be</p>

		addressed by the task force committee. Task force members are appointed by the EICC Chair from among members of the Council and to the extent possible reflecting the statutory composition of the council.
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#### E. Direct Services

Describe the direct services the State expects to provide including information about each type of service, the approximate amount of funds for the service, and a summary of the methods to be used to provide the service. If State employees provide direct services, include salary, fringe, % Part C, and description of duties. *(Add columns and rows as needed.)*

Direct Service	Part C Funds to be Spent	Summary of Methods to be Used to Provide Service
Respite ** See note below	\$1,393,200	Funds will be used for reimbursement of respite claims for respite services provided to eligible children and their families

\*\*No other early intervention services are supported with Part C funding. Early intervention services included in children's Individualized Family Service Plans (IFSPs) are funded through a combination of Medicaid, state and county funds, and, when available, commercial insurance.

Direct Service Employees (Discipline)	Salary and Fringe	% Part C	Description of Duties

#### F. Description of Optional Use of Part C Funds (For States that Do Not Provide Direct Service for At-Risk Infants and Toddlers)

Describe activities to strengthen the statewide system for at-risk infants and toddlers. This could include establishing linkages with appropriate public or private community-based organizations, and supporting personnel who identify and evaluate at-risk infants and toddlers, make referrals and conduct periodic follow-up. *(Add columns and rows as needed.)*

Description of Activity	Amount of Funds
<p>New York State Department of Health Law Section 2542, which provides for implementation of a comprehensive child find system, requires primary referral sources to identify and refer children at risk of disability to the Early Intervention Official of Public Health Official for screening and tracking purposes. Public Health Law further requires that screening and tracking of at-risk children be conducted using existing community resources and funds made available by the Department for such purposes.</p> <p>Funds are allocated to municipalities responsible for local administration of the Early Intervention Program, including child find, to perform a variety of activities to ensure that at-risk children are identified, screened, tracked, and referred for early intervention services if a disability or developmental delay is suspected. Activities supported by</p>	\$2,650,100

these funds include the following: educating primary referral sources about the importance of developmental surveillance and how to make a referral for early intervention services; establishing linkages with community resources available to provide developmental screening to at risk children, including primary health care providers; ensuring that children at risk are engaged with a primary health care provider and receive developmental surveillance from that provider; and conducting developmental screenings of at-risk infants and toddlers who cannot be successfully engaged in primary health care and/or when no other resources are available to conduct such screening.	
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#### G. Activities by Other Agencies

If other agencies receive a portion of the Part C Federal funds, include the name of the agency, the approximate amount of funds each agency will receive, and a summary of the purposes for which the funds will be used. *(Add columns and rows as needed.)*

Agency Receiving Funds	Amount of Funds	Purpose
State Education Department	\$89,493	Funds are provided to the State Education Department to support the monitoring of 78 early intervention providers approved by that agency to deliver early intervention services, and to support collaborative training activities related to transition from early intervention services to services under Part B of Individuals with Disabilities Education Act and Section 4410 of State Education Law at age three years.
Office of Advocates for Persons with Disabilities	\$200,000	Funds are provided to the Office of the Advocate for Persons with Disabilities to support training and technical assistance activities on assistive technology services and devices targeted to parents, providers and Early Intervention Officials. In addition, these funds support development and maintenance of loan closets of assistive technology devices for eligible children and their families. Activities are performed through a statewide system of Technology-Related Assistance for Individuals with Disabilities Centers (TRAID Centers). Funds also support staff in the Advocate's Office responsible for oversight of TRAID Center activities.



## Section IV

### A. System of Payments / Use of Insurance / Program Income

The State

☒X does (check as applicable)

☐ does not (check as applicable)

have a system of payments for Part C services under 20 U.S.C. 1432(4)(b) which may include use of public and/or private insurance or family fees, such as a sliding scale. Any family fees are treated as 'program income' for purposes of 34 CFR §80.25 and are not included in the State's determination of State and local expenditures for purposes of 20 U.S.C. 1437(b)(5)(B). *Note: If the State has adopted new or has revised its existing policies and procedures regarding its system of payments, it must submit these new and/or revised policies and procedures under Item 5 in Section II.A above.*

### B. Restricted Indirect Cost Rate/Cost Allocation Plan Information

(Note: To be completed if Lead Agency is not a State Educational Agency.)

If the lead agency is not a State Educational Agency, please check applicable status below (more than one check mark may be necessary) and enclose appropriate documentation for this Federal Fiscal Year.

☐ The lead agency has a final restricted indirect cost rate or cost allocation plan that has been approved by the State lead agency's cognizant Federal agency and is in effect for this Federal fiscal year (FFY) (ending on June 30, 2007). (Attach a copy of the approved restricted indirect cost rate agreement or cost allocation plan.)

☒X The lead agency has either a provisional or final restricted indirect cost rate or cost allocation plan that expires or expired on 3/31/06 and the State is in the process of negotiating a new restricted indirect cost rate agreement or cost allocation plan that will be in effect for the period 4/1/06.<sup>2</sup> The State lead agency will continue to charge or bill the Part C grant using the provisional or previously approved final restricted indirect cost rate or cost allocation plan until a new rate or plan is negotiated and approved by the State's cognizant Federal agency, at which point the State lead agency must make appropriate adjustments for applicable FFYs. The State acknowledges that a final restricted indirect cost rate may result in an adjustment of the final audited expenditures allowable to be charged to the Part C grant and the Department's approval of this FFY Part C application with an expired or provisional restricted indirect cost rate does not constitute approval of that rate as the final rate for the lead agency for this FFY. When a final restricted indirect cost rate is approved, the lead agency must submit to OSEP: (1) a copy of the "final" restricted indirect cost rate agreement; and (2) details of adjustments made to past GAPS draw downs in light of the "final" rate. (Attach a copy of the previously approved restricted indirect cost rate agreement or cost allocation plan.)

☐ No indirect costs are charged to the Part C grant. The total amount of the Federal Part C grant is used for allowable direct costs.

☐ Other, explanation attached.

\* Indirect Cost is budgeted at \$458,179 based upon indirect cost rate.

<sup>2</sup> A "provisional" indirect cost rate is a temporary rate established for a future prospective period of time to permit budgeting, obligations, and payment of funds by awarding agencies until such time as the actual indirect costs can be determined and a final rate is established for the applicable period; provisional rates are subject to adjustment by issuance of a "final" rate based on actual indirect costs incurred for the period (usually the organization's fiscal year).